

10-03-00

Docket No.

327

# UTILITY PATENT APPLICATION TRANSMITTAL

## (Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Total Pages in this Submission  
47TO THE ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application

Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**THREE-STAGE OPTICAL AMPLIFIER HAVING FLAT SPECTRAL GAIN**

and invented by:

**BALAKRISHNAN SRIDHAR, CLARK SCRANDIS, EDWARD DEGRANGE, MICHAEL TAYLOR AND JUN BAO**

If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:

Continuation     Divisional     Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

Continuation     Divisional     Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

Continuation     Divisional     Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1.  Filing fee as calculated and transmitted as described below
2.  Specification having 34 pages and including the following:
  - a.  Descriptive Title of the Invention
  - b.  Cross References to Related Applications (*if applicable*)
  - c.  Statement Regarding Federally-sponsored Research/Development (*if applicable*)
  - d.  Reference to Microfiche Appendix (*if applicable*)
  - e.  Background of the Invention
  - f.  Brief Summary of the Invention
  - g.  Brief Description of the Drawings (*if drawings filed*)
  - h.  Detailed Description
  - i.  Claim(s) as Classified Below
  - j.  Abstract of the Disclosure

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## Application Elements (Continued)

3.  Drawing(s) (*when necessary as prescribed by 35 USC 113*)
  - a.  Formal Number of Sheets 10
  - b.  Informal Number of Sheets \_\_\_\_\_
4.  Oath or Declaration
  - a.  Newly executed (*original or copy*)  Unexecuted
  - b.  Copy from a prior application (37 CFR 1.63(d)) (*for continuation/divisional application only*)
  - c.  With Power of Attorney  Without Power of Attorney
  - d.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5.  Incorporation By Reference (*usable if Box 4b is checked*)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6.  Computer Program in Microfiche (*Appendix*)
7.  Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all must be included*)
  - a.  Paper Copy
  - b.  Computer Readable Copy (*identical to computer copy*)
  - c.  Statement Verifying Identical Paper and Computer Readable Copy

## Accompanying Application Parts

8.  Assignment Papers (*cover sheet & document(s)*)
9.  37 CFR 3.73(B) Statement (*when there is an assignee*)
10.  English Translation Document (*if applicable*)
11.  Information Disclosure Statement/PTO-1449  Copies of IDS Citations
12.  Preliminary Amendment
13.  Acknowledgment postcard
14.  Certificate of Mailing

First Class  Express Mail (*Specify Label No.:*) EL620454625US

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Large Entity)**

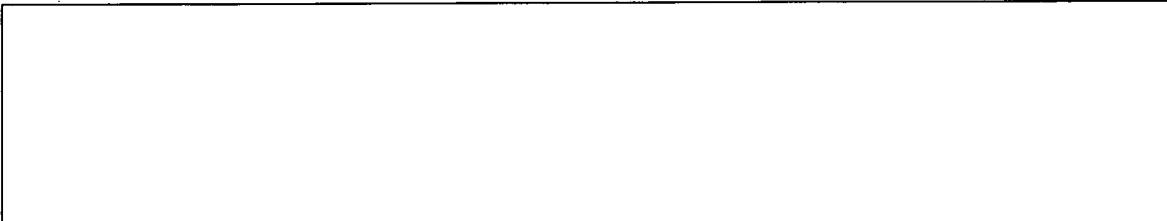
*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

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**Accompanying Application Parts (Continued)**

15.  Certified Copy of Priority Document(s) (*if foreign priority is claimed*)

16.  Additional Enclosures (*please identify below*):  


**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
<b>Total Claims</b>	24	- 20 =	4	x \$18.00	\$72.00
<b>Indep. Claims</b>	2	- 3 =	0	x \$78.00	\$0.00
<b>Multiple Dependent Claims (check if applicable)</b>	<input type="checkbox"/>				\$0.00
				<b>BASIC FEE</b>	\$690.00
<b>OTHER FEE (specify purpose)</b>					\$0.00
				<b>TOTAL FILING FEE</b>	\$762.00

A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.

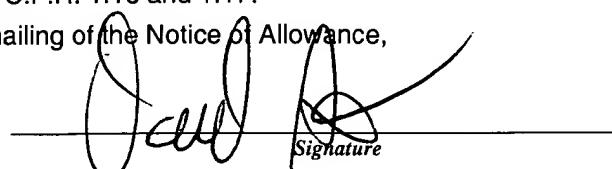
The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0308 as described below. A duplicate copy of this sheet is enclosed.

Charge the amount of \$762.00 as filing fee.

Credit any overpayment.

Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.

Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).



Dated: October 2, 2000

cc:

JC932 U.S. PTO  
09/677344  
10/02/00



October 2, 2000

**ATTORNEY DOCKET NO. 327**

**Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231**

Re: New U.S. Patent Application  
Title: Three-Stage Optical Amplifier Having Flat Spectral Gain  
Inventor: Balakrishnan Sridhar, Clark Scrandis, James E. Degrange, Jr.,  
Michael Taylor and Jun Bao

Sir/Madam:

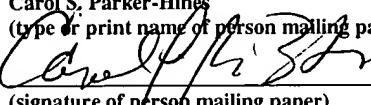
The following papers for filing in the United States Patent and Trademark Office in connection with the above patent application are enclosed.

1. Utility Patent Application Transmittal.
2. Application - 34 pages, including title page, 2 independent claims and 24 claims total.
3. Drawings - 10 sheets of formal drawings.
4. Declaration and Power of Attorney.
5. Recordation Form Cover Sheet (in duplicate) and Assignment to CIENA Corporation.
6. Information Disclosure Statement (including Form 1449 w/references)

Authorization to charge the Application filing fee of \$762.00 and the Assignment Recordation Fee of \$40.00 in connection with the filing of this application to Deposit Account

**Certification Under 37 C.F.R. Section 1.10**

I hereby certify that this New Application Transmittal Letter and the documents referred to as being enclosed therein are being deposited with the United States Postal Service on this 2<sup>nd</sup> day of October 2000 in an envelope marked as "Express Mail Post Office to Addressee" Mail Label Number EL620454625US addressed to Box Patent Application, Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Carol S. Parker-Hines  
(type or print name of person mailing paper)  
  
(signature of person mailing paper)

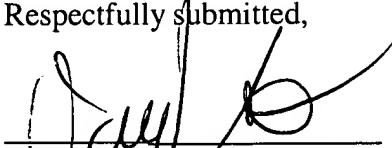
No. 50-0308.

Please charge any deficiency as well as any other fee(s) which may become due under 37 C.F.R. Section 1.16 and Section 1.17, at any time during the pendency of this application, or credit any over payment of such fee(s) to Deposit Account No. 50-0308.

Please accord this application a serial number and filing date and record and return the Assignment to the undersigned.

Respectfully submitted,

By:

  
David L. Soltz  
Reg. No. 34,731

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